

CALIFORNIA ENERGY COMMISSION

1516 NINTH STREET
SACRAMENTO, CA 95814-5512
www.energy.ca.gov

**GENERAL INSTRUCTIONS FOR SUBMITTING
APPLIANCE CERTIFICATION DATA**

(Instructions last updated 07/11)

CERTIFICATION REQUIREMENTS

Since the 1970s, the California Energy Commission (Energy Commission) has had the responsibility to establish and enforce energy efficiency standards for buildings and appliances. The Energy Commission's *Appliance Efficiency Regulations* first took effect in late 1977, and include the requirement that a regulated appliance may not be sold or offered for sale in California unless it is certified to be in compliance with the standards. The Energy Commission has been collecting and publishing this appliance efficiency data continuously since 1978. Over time, these responsibilities have grown to encompass a great many appliance types and to include both water and energy efficiency. This document explains the general requirements for complying with the data certification part of California's current Appliance Efficiency Regulations.

Section 1606(a) of the Appliance Efficiency Regulations requires manufacturers of appliances sold or offered for sale in California to certify their performance to the Energy Commission. The Energy Commission publishes its appliance regulations on its web site at:

<http://www.energy.ca.gov/appliances/>

Certifying an appliance involves testing an appliance's performance and submitting the data collected to the Energy Commission's Appliance Efficiency Program. A regulated appliance that is not certified cannot be legally sold or offered for sale in the state of California. Certification packets for each type of regulated appliance can be found at:

http://www.energy.ca.gov/appliances/database/forms_instructions_cert/

Manufacturers of regulated appliances are also required to have testing performed at a laboratory approved by the Energy Commission. Laboratories must be approved individually for each appliance type they wish to test, and test laboratory approval must be renewed for each calendar year. Manufacturers (or third party certifiers) must identify the laboratory used for any appliance certification request, and may instruct the laboratory they wish to use to apply to the Energy Commission prior to or at the time of their data submittal. Test laboratory applications, instructions, and lists of approved laboratories for all appliances can be found at:

<http://www.energy.ca.gov/appliances/forms/>

SUBMITTING CERTIFICATION DATA

Each certification packet includes three electronic files:

- this “General Submittal Instructions” document, in Adobe PDF™ format;
- the “Appliance Specific Instructions” document for the type of appliance you have chosen to certify, in Microsoft Word™ (Word) format; and
- a preformatted data collection file for the type of appliance you have chosen to certify, in Microsoft Excel™ (Excel) format.

Manufacturers can certify their appliances directly, or they may choose to have their appliances certified by an approved third party certifier.

For Direct Certification: Certifying an appliance generally requires the submittal of two items: an Excel file containing the required appliance efficiency information, and a signed two page Declaration. The Excel file must be named and formatted as explained in the instructions for each appliance type. The Declaration must be filled out fully, including the fields for providing contact information for both the manufacturer and the test laboratory supplying the appliance efficiency data, and must be signed with a current signature and date. Both of these items are discussed in greater detail under Submission Requirements (below).

For Third Party Certification: If you are certifying through a third party, or are a third party submitting on behalf of an appliance manufacturer, additional forms must be filled out. These forms, along with a summary guide, can be found at the bottom of this page:

<http://www.energy.ca.gov/appliances/forms/>

As an example, some test laboratories collect and submit appliance data on behalf of their clients in order to streamline the certification process. The test laboratory must first complete an annual application to become a third party certifier, allowing them to certify data on behalf of manufacturers. Then, for each submittal of data the manufacturer must complete the Manufacturer Authorization Form authorizing the third party certifier to submit that set of data on their behalf. This Form must be submitted in addition to a Declaration prepared by the third party certifier for each appliance type.

Other, more specialized third party options, such as Trade Association Directories and Approved Industry Certification Programs, are discussed in the summary guide for third party submittal found at the bottom of this page:

<http://www.energy.ca.gov/appliances/forms/>

Submission Requirements: The information required to certify appliances must be submitted electronically, using a Microsoft Excel format file, to appliances@energy.state.ca.us. Each e-mail submission should have one Excel file per appliance type. An Excel file may contain multiple appliance model listings of the same type.

A complete data submittal includes both the Excel file and the Declaration described above. A blank Declaration of the appropriate type is included as the last two pages of the appliance-specific instructions. When submitting the signed Declaration electronically, please do not also submit a copy via regular mail. Also, when submitting the signed Declaration, do not include the entire set of instructions of which the Declaration is a part; only include these last two pages.

Failure to include properly formatted, required items (Excel file, signed Declaration, etc.) will result in your submittal being returned as incomplete. If you are missing any part of the certification packet or need to download certification packets for other appliances, they are available from the Energy Commission website at:

http://www.energy.ca.gov/appliances/database/forms_instructions_cert/

Please review the appliance-specific instructions for data certification prior to completing the data certification Excel file. Any data not matching these parameters will be rejected.

*For Commercial Refrigerators & Freezers, Plumbing Fittings, and Large Storage Water Heaters (as defined by the U.S. Department of Energy) **ONLY**:* copies of test reports are required under Section 1606(a)(3)(C) for the above appliances when submitted for certification. These reports must be from an approved test laboratory.

Discrepancies between data in the Excel file and data shown on the test report will cause rejection of your submittal. If a specific test report is being submitted to cover more than one model (i.e., an identical model sold under a different brand name with a different model number), you must provide a cross-reference of which certified models match the specific model shown in a specific test report. Additionally, please note that providing copies of test reports for appliances other than the above categories will cause a delay in reviewing your data submittal.

As a reminder, if the test laboratory is not currently approved, you may include an approval application for the test laboratory with your submittal. The test laboratory application will be reviewed first, and if it is incomplete or inaccurate, your data submittal will be returned unprocessed.

ELECTRONIC SUBMITTALS

In all cases (data submittals, test laboratory applications, etc.), the Appliance Efficiency Program requires that all forms and data be submitted electronically by e-mail, except where this would present a hardship. For documents that require signatures, signing the document, scanning the signed document, and attaching the signed/scanned document to the e-mail submittal is acceptable. The Energy Commission has up to 30 calendar days to respond to any data submittal, application, or similar request. All such communication should be directed to:

appliances@energy.state.ca.us

If electronic communication represents a hardship, contact Appliance Efficiency Program staff for instructions **prior to** submitting data and/or forms. Full contact information for the Appliance Efficiency Program is included below.

DATABASE OF CERTIFIED APPLIANCES

Appliance data collected by the Appliance Efficiency Program is archived and made available to the public through an interactive web-based interface found here:

<http://appliances.energy.ca.gov/>

After a data submittal is processed, it typically takes only 24 hours for the new records to be updated to the interface page.

Please note that the Energy Commission maintains a separate database for appliances that do not meet current efficiency standards but were certified as meeting earlier, less stringent efficiency standards. Appliances manufactured prior to the effective date of the current efficiency standards may still be sold or offered for sale if they were certified as meeting the standard in effect on the date the model was manufactured. If you would like information about these models, please contact Appliance Efficiency Program Staff.

MAKING CHANGES OR DELETIONS

Requests to change or delete appliance records must be made through the same procedure as for a data submittal. A Declaration is required, and Third Party Certification forms may be necessary. Specific directions for changing or deleting appliance records are present in the appliance-specific instructions included in each certification packet.

QUESTIONS AND CONTACT INFORMATION

Questions, comments and requests may be referred to any of the following individuals:

<i>Name</i>	<i>Phone Number</i>	<i>E-mail Address</i>
Peter Strait	(916) 651-9375	appliances@energy.state.ca.us
Christine Awtrey	(916) 651-1227	

Electronic submittals that are e-mailed must be sent to the e-mail address shown above (appliances@energy.state.ca.us), and must contain all appropriate documentation, including the signed Declaration. When submitting your data and Declaration electronically, do not also send copies through regular mail.

If e-mail is not available, correspondence should be mailed to:

Appliance Efficiency Program
California Energy Commission
1516 Ninth Street, MS-25
Sacramento, CA 95814